

## **Office of Postsecondary Education**

### **Congressional Priorities for Postsecondary Education**

#### **Application for Grants**

**Fiscal Year 1999**

**Deadline for Submission: April 30, 1999**

**Statement of intent to submit requested by April 16, 1999**

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#### **Introduction**

In the Omnibus Appropriations Act (P.L.105-277) signed into law on October 21, 1998, Congress directed that \$9.5 million of the FY 1999 funds made available for the Fund for the Improvement of Postsecondary Education shall be for a competition consistent with the subject areas outlined in House and Senate reports and the statement of the managers, and that such competition should be administered in a manner consistent with current departmental practices and policies. The Congressional Priorities for Postsecondary Education competition was developed in response to this provision.

#### **Awards**

The entire \$9.5 million allocated to this competition will be disbursed in FY 1999. Grants made under this new competition may provide funding for up to three years of activities, depending on project design. Projects may begin as early as September 1, 1999, but preferably no later than January 1, 2000. An estimated 15-30 new awards will be made. There is no minimum or maximum award. These figures are only estimates and do not bind the Department of Education to a specific number or size of grants.

#### **Eligibility**

Eligibility is limited to institutions of higher education and other public and private *non-profit* organizations and agencies, or combinations of such organizations. Proposals may be submitted by two- and four-year colleges and universities, both public and private; graduate and professional schools; community organizations; libraries; museums; trade and technical schools; unions; consortia; student groups; state and local government agencies; corporations; and associations. Proposals may be submitted by newly formed as well as established organizations, but not by for-profit schools or organizations. Other organizations may be eligible; the list here is not exhaustive.

**Authority**

The Education Amendments of 1972 authorized the Secretary of Health, Education, and Welfare to improve postsecondary educational opportunities by providing assistance to educational institutions and agencies for a broad range of reforms and innovations. The specific authority is now contained in Title VII, Part B of the Higher Education Act as amended in 1998. In addition, the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, and 85 also apply.

**Application Notice**

The official Application Notice is published in the Federal Register. The information in this application package is intended to aid in preparing applications for this competition. Nothing in this application package supersedes the priorities published in the Federal Register.

**Addresses for Information**

This competition will be administered by the Fund for the Improvement of Postsecondary Education. For information or application materials, contact the Fund at one of the addresses below. Do not use this address to submit applications.

Fund for the Improvement of Postsecondary Education

ROB-3, Room 3100

7th and D Streets, SW

Washington, DC 20202-5175

Telephone: 202-708-5750

E-mail: [fipse@ed.gov](mailto:fipse@ed.gov)

**World Wide Web Site**

For information on current projects, successfully evaluated projects from previous years, application information, evaluation resources and more, visit the Fund for the Improvement of Postsecondary Education's World Wide Web site at <<http://www.ed.gov/offices/OPE/FIPSE>>.

## **Congressional Priorities for Postsecondary Education**

Priorities for funding under this competition are noted below. These priorities were established by Congress and are considered absolute. Applications must address one or more of these priorities to be eligible for funding consideration. Priorities must be addressed in full; for example, under priority #4 below, an application must address *both* distance education and teacher training in order to be eligible for funding. Applications for capital improvements are permitted only under priority #6 below, and only for the specific purposes listed there.

1. Demonstration programs to encourage underrepresented groups, such as women and minorities, to enter careers in technology and business.
2. Projects to endow a Contracts Chair-of-Excellence program to be administered in cooperation with a consortium of Historically Black Colleges and Universities and Hispanic-Serving Institutions with environmental science and engineering capabilities.
3. Demonstration programs to establish a state-of-the-art science and technology program that will explore the application of novel electronic materials that are used in the development of high temperature supercomputers.
4. Enhanced distance education and teacher training activities.
5. Applications for conversion of library catalogs to electronic format.
6. For assistance with critical infrastructure needs such as fiberoptic cabling, hardware, and communications equipment, and classroom renovations, in conjunction with programs specifically tailored to the needs of students with part-time employment with a goal of fully preparing participants for the skilled job opportunities of the future.
7. To support university-based advanced mathematics teacher-student training programs.
8. To establish off-campus and community-based delivery of educational programs and services to improve rural access.
9. To improve the skills of physical science teachers.
10. For inter- and intravideo conferencing projects.
11. For demonstration projects that establish centers for technical education to serve young people who do not intend to go on to college.
12. To support innovative approaches to connecting community colleges to 4-year institutions through a cooperative curriculum, shared student services, and faculty collaborations.

13. Projects of interinstitutional efforts dedicated to improving the scientific expertise and interest of undergraduate students.

14. Educational programs to train students for careers in the hospitality and tourism industry.

### **The Importance of Innovation**

Grants from The Fund for the Improvement of Postsecondary Education are intended to provide the seed capital for experiments in educational reform, and the knowledge gained through those experiments should be intended to benefit postsecondary students throughout the country. Are the problems or opportunities you wish to address common to other institutions serving similar student populations? If so, can you design an educational reform project within the priorities above that demonstrates to others an effective new way of responding to those problems? The Fund's goal is to support implementation of innovative reform ideas, to evaluate how well they work, and to share the lessons learned with the larger postsecondary education community.

As a potential applicant, one of the first things you should do is to investigate how others are responding to similar problems or opportunities. How does your idea compare to common or traditional educational practice? More importantly, how does it compare to the experiments of other leading-edge educational reformers? Your project should be designed to make a unique contribution to the professional community. It does not necessarily have to be a revolutionary or paradigm-shifting reform model, but it should be a significant next step.

### **Guide to Proposal Development<sup>1</sup>**

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This discussion is intended to help you conceive and write a stronger proposal by alerting you to the ways in which it will be read and judged. We recognize that all of the considerations raised here may not pertain to your particular project, and the following remarks are not intended to oblige you to organize your proposal around direct responses to all of them.

#### **Before You Prepare An Application**

The Fund for the Improvement of Postsecondary Education is a federal program and therefore takes a national perspective in its grantmaking. Both the importance of a project and the innovation represented by its proposed solution are therefore considered in relation to the needs of the postsecondary community as a whole. Applicants are advised to describe the problem or

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<sup>1</sup>This program information is intended to aid applicants in applying for assistance under this competition. Nothing in this application package is intended to impose any paperwork, application content, reporting, or grantee performance requirement beyond those specifically imposed under the statute and regulations governing the competition.

opportunity they wish to address in both its local and national contexts.

Model programs addressing many common issues of postsecondary reform already exist. Some have been developed with the support of the Fund<sup>2</sup> or other agencies; many others were implemented without any outside grant support. Applicants are encouraged to begin their search for solutions by examining what others have done to address the issue or problem of concern, and to adapt appropriate current models wherever possible. It is when your research indicates that there are no appropriate models, or that current models can be substantially improved, that you should consider an application to this competition. We will welcome your ideas.

Prospective applicants should note that, although program officers at the Fund for the Improvement of Postsecondary Education do not review draft proposals, they are happy to discuss project ideas and provide other types of technical assistance by telephone or in person. Call the Fund's office to set up an appointment.

**Note: In order to allow for selection of appropriate external readers to review proposals in this competition, applicants are encouraged to submit a brief *Statement of Intent to Submit a Proposal* by April 16, 1999. The statement should include: 1) the name, mailing address, telephone, and e-mail address of the proposed project director; 2) the name of the applicant nonprofit institution; and 3) the Congressional priority or priorities that you intend to address in your proposal. Please send this statement to the following address, or e-mail it to <fipse@ed.gov>:**

**Competition Coordinator  
Fund for the Improvement of Postsecondary Education  
ROB3, Room 3100  
7th and D Streets, S.W.  
Washington, D.C. 20202-5175**

## **The Review Process**

The review process for the Congressional Priorities for Postsecondary Education competition will be conducted in a single stage. Applicants must submit a completed *title page*; a single-page, double-spaced *abstract* of their proposal; a double-spaced *proposal narrative* not exceeding 15 pages in length; a completed *budget page*; and a *budget narrative* by the application deadline in order to be considered for funding. Title and budget pages are included in this application package.

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<sup>2</sup>Descriptions and results of many well-evaluated projects are contained in the *Lessons Learned* publications, available from the Fund for the Improvement of Postsecondary Education office and through the Fund's World Wide Web site.

Your proposal should give reviewers a concrete understanding of the Congressional priority(ies) you are addressing and the solutions you propose, including a description of how you will evaluate the results. As noted above, it should be clear how your project strategy differs from and improves upon current practice at your institution and elsewhere in the nation.

Proposals will be read by at least two outside reviewers, including specialists in the subject of your proposal. Proposals may be reviewed by additional experts when technical questions arise, and may be discussed by the Fund's National Board of Advisors. Project directors of the most competitive applications will be telephoned to clarify information about their projects. Staff may also contact others who know the applicant's work and plans, or who will be affected by the project.

It is important to write the proposal narrative in clear, direct language, avoiding jargon, cliches, and acronyms whenever possible.

*To ensure that all applicants enjoy the same opportunity to present their ideas, please conform to the page limitations noted above and avoid font sizes smaller than 11 point.*

## **Selection Criteria**

The intent in this section is to help applicants understand how the selection criteria are applied. Proposals addressing all priorities established by Congress will compete for the available funds, but there is no requirement that projects be funded in each identified priority area. Instead, to identify the most significant issues and feasible plans, the Fund will compare each proposal to all others, selecting the best of these for funding through use of the criteria described below.

Each selection criterion is presented in bold type, and followed by a brief discussion. Reviewers of your proposal will use these criteria to form their judgements about the quality of your proposal, so it is in your interest to be familiar with them. Each criterion will be weighted equally; within each criterion, each factor will also be weighted equally.

### **Proposals will be reviewed using the following criteria:**

#### **1) The need for the project, as determined by the following factors:**

- a) the magnitude or severity of the problem addressed by the proposed project; and**
- b) the need for the services to be provided or the activities to be carried out by the proposed project.**

Within the Congressional priorities, applicants should describe the nature and magnitude of the problem or opportunity they wish to address, in both its local setting and a national context.

How central is the problem you have identified to your institution's vitality or the effectiveness of your educational services? Does the same problem affect other institutions around the country? Have attempts to remedy the situation been made by you or by others in the past, and with what results? What will be the local and national consequences of a successful completion of your project? Are other institutions or organizations likely to benefit or learn from your experience in ways that would enable them to improve their own programs and services?

**2) The significance of the project, as determined by the following factors:**

- a) the potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;**
- b) the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;**
- c) the importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement; and**
- d) the potential replicability of the proposed project or strategies, including (as applicable) its potential for implementation in a variety of settings.**

Reviewers will appreciate any evidence you can include to illustrate how your project differs from and improves upon previous efforts. Describe the potential contribution of your project to increasing the postsecondary community's knowledge about effective reform strategies, and the likely utility of the products (such as information, materials, processes, or techniques) that will result from it. It is the applicant's responsibility to set a context within which reviewers can assess the project's importance to postsecondary education reform.

Keep in mind that, if your project activities are heavily dependent on external funding, it will be very difficult for other institutions to adapt them on their own, and this may reduce the potential impact of your project.

**3. The quality of the project's design, as determined by the following factors:**

- a) the extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.**
- b) the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; and**
- c) the extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or**

**strategies employed by the project.**

Your narrative should offer reviewers a clear description of who will do what, when, where, why, and with what anticipated results. The project's goals and objectives should be clearly identified and measurable.

All proposed projects should include plans for disseminating their findings. There are many ways of informing others of a project's results, and of helping others make use of your experience. In reviewing plans for dissemination or adaptation, we ask whether the methods proposed are appropriate for the project in question and whether they improve upon methods used elsewhere.

**4) The quality of project personnel, as determined by the following factors:**

- a) the qualifications, including relevant training and experience, of key project personnel; and**
- b) the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.**

The qualifications of key personnel, including the project director and any consultants or subcontractors, should be briefly outlined in an appendix to the proposal. Please note that a standard curriculum vitae is usually not appropriate for this purpose. What is needed is a brief narrative summary of each individual's background, with a special focus on those experiences related to the topic of your application.

**5) The quality of the management plan, as determined by the plan's adequacy to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.**

**6) The adequacy of resources for the proposed project, as determined by the following factors:**

- a) the extent to which the budget is adequate to support the proposed project;**
- b) the extent to which costs are reasonable in relation to the objectives, design, and potential significance of the proposed project;**
- c) the relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;**
- d) the adequacy of support, including facilities, equipment, supplies, and other resources from the applicant organization(s); and**
- e) the potential for continued support of the project after Federal funding ends,**



**including, as appropriate, the demonstrated commitment of appropriate entities to such support.**

It should be clear that you have carefully allocated appropriate resources and personnel for the tasks and activities described in your proposal. A detailed budget justification attached to your proposal should itemize the support you request from federal resources and those resources you expect to obtain from other sources.

The Fund for the Improvement of Postsecondary Education is especially interested in projects designed to be cost-effective, to increase the likelihood that successful efforts may be continued beyond the period of a federal grant and be replicated by others. But cost-effectiveness must not imply insufficient resources to accomplish the project's goals and objectives. Costs should be allocated, and will be judged, in comparison to the scope of the project and its anticipated benefits.

It is important to provide evidence that the plans you propose have the support of those who will authorize them, those who will carry them out, and those who will be affected by them. Proposals should include, in an appendix, letters of commitment and support from senior administrators of the host institution, any partners in the project, and, if desired, national experts on the issues addressed in the proposal. Applicants are advised that the quality of letters of support is important, not their quantity.

The applicant institution and any partners should support the project both philosophically and financially. Because applicants are often seeking support that will develop or strengthen their own programs or capacities, we expect the host institution and its partners to make a significant commitment to the project in the form of direct cost sharing and low indirect cost rates. We do not specify a particular percentage of cost-sharing or an indirect rate, however, because the rate proposed is taken as an indication of institutional commitment, and this may vary from institution to institution and from project to project. Some applicants request no indirect costs at all. As a reference point, the Fund generally uses the U.S. Department of Education training rate of eight percent of total direct costs as a basis for judgments about reasonable indirect costs.

These grants are generally used to support the start-up of new programs or activities that are intended to continue after a grant ends. When this is the case, your proposal should have a clear and convincing plan for long-term continuation of the project that includes explicit commitments from those who will be responsible for sustaining the activity. When long-term institutionalization of the project is the goal, it is often desirable to plan for an increasing share of institutional support with declining federal support during the life of the grant.

Because issues of cost are often critical for institutionalization, proposals requesting grant dollars for student financial aid or equipment purchases are rarely competitive unless such costs are specifically mentioned in the Congressional priority you are addressing. Projects requiring such funds should acquire these monies from other sources. With the exception of proposals funded under priority #6 above, these grants cannot be used for the purchase of real property or for construction.

**7) The quality of the project's evaluation, as determined by the following factors:**

- a) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.**
- b) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project; and**
- c) the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.**

Before a project can become a model for other institutions, its proponents must be able to prove that it has achieved its aims in its original setting. That is why a solid evaluation plan, one that focuses as much as possible on precisely how the project has helped students to become better educated, is an essential component of successful projects.

Proposals should include a specific section on evaluation in which you state your objectives clearly and present the details of your evaluation design. Learners should, directly or indirectly, be the principal beneficiaries of your project. This focus on the learner also suggests that evaluation plans should assess projects in terms of their consequences for student learning.

Formative evaluation can help you manage your project more effectively, and a strong summative evaluation, especially if it documents the project's effects on the learner, can turn a successful project into a national model for improvement in postsecondary education. As you develop the project's evaluation plan, place yourself in the position of the recipient of your final evaluation report. What would count as solid quantitative and qualitative evidence that your project had succeeded, or failed? It may be difficult, within the term of the grant, to assess accomplishment of long-range objectives, but you should be able to identify some short-term indicators. *Developing such evidence should not be put off until the last stages of a project. It must be a consideration from the design stage onward.*

The Fund for the Improvement of Postsecondary Education provides a short bibliography of books and articles on program evaluation to assist applicants with evaluation design. These references clarify formative and summative evaluation. They address evidence, measurement, and sampling questions, and discuss the immediate and long-range outcomes you can expect, based on your project objectives. This bibliography is available on the Fund's World Wide Web site, or by telephone or mail request to the office.

## **Submitting Your Proposal**

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*Statements of Intent to Submit a Proposal* are requested by April 16, 1999 (see page 5).

Completed proposals must be submitted on or before April 30, 1999. *The announced closing dates and procedures for guaranteeing timely submission will be strictly observed.*

Applicants should also note that the closing date applies to both the date the application is mailed and the hand delivery date. A mailed application meets the requirements if it is mailed on or before the pertinent closing date and the required proof of mailing is provided. Proof of mailing may consist of one of the following: (a) a legible dated U.S. Postal Service postmark; (b) a legible receipt with the date of mailing stamped by the U.S. Postal Service; c) a dated shipping label, invoice, or receipt from a commercial carrier, or (d) any other proof of mailing acceptable to the Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary will not accept either of the following as proof of mailing: (1) a private metered postmark, or (2) a mail receipt that is not dated by the U.S. Postal Service. Please use first class mail.

### **MAILING ADDRESS FOR PROPOSALS**

CONGRESSIONAL PRIORITIES FOR POSTSECONDARY EDUCATION  
ATTN: 84.116D  
U. S. DEPARTMENT OF EDUCATION  
APPLICATION CONTROL CENTER  
ROOM 3633  
WASHINGTON, D.C. 20202-4725

### **Acknowledgment of Receipt of Proposals**

Upon receiving your proposal the Application Control Center will mail you an acknowledgment that will include the application number (PR/Award Number) that has been assigned to your application. It will begin with "P116D", followed by a six-digit number. *Always mention the complete PR/Award number in your communications about the proposal.*

Should you fail to receive an acknowledgment of the receipt of your application within fifteen days after the application deadline, call the Application Control Center at 202-708-9493.

## Submission Procedures

**Mailed Proposals:** Proposals sent by mail must be mailed no later than April 30, 1999. First class mail should be used. Use the address above.

**Hand Delivered Proposals:** Proposals will be accepted daily between the hours of 8:00 a.m. and 4:30 p.m., Washington, D.C. time except Saturdays, Sundays, or Federal holidays, at the Application Control Center, General Services Administration Building, 7th & D Streets, S.W., Washington, D.C.. Proposals will not be accepted after 4:30 p.m. on April 30, 1999.

**Number of Copies:** All applicants must submit *one (1) signed original and two (2) complete copies* of the proposal. Each copy must be covered with a Title Page, ED 40-504 (included with these guidelines) or a reasonable facsimile. *Applicants are also requested to submit three (3) additional copies of the Title Page itself.*

**Content:** Each proposal should include the following:

- \* Title Page: Use Form ED 40-514 or a suitable facsimile to cover each copy of the proposal. Applicants need not complete item 1 on the title page; an application number will be assigned by the Application Control Center to each proposal received in timely fashion. See the instructions on the back of the enclosed title page for additional information.
- \* Project Abstract: Attach a one-page doubled-spaced abstract following the Title Page (this is in addition to the abstract requested on the Title Page itself). The abstract should identify the Congressional priority or priorities addressed by your project and describe the proposed project activities and their intended outcomes. It should also include a concise summary of what is innovative about the project.
- \* Proposal Narrative: It should consist of *no more than fifteen double-spaced, numbered pages, with a font size of 11 points or larger*. Please review the selection criteria noted above.
- \* Budget: Use the enclosed budget page or a reasonable facsimile.
- \* Budget Narrative: Include a budget narrative explaining: (1) the basis on which you estimated the costs of professional personnel, consultants, travel, indirect costs, and any unusual projected expenditures; (2) how the major cost items relate to the proposed activities; and (3) the costs of evaluation. Your budget narrative should also include a detailed breakdown of institutional and other support for the project.
- \* Appendices: Please provide a brief summary of the background and experience of key project staff as they relate to the specific project activities you are proposing. Summer telephone numbers and/or email addresses for the project director(s) should also be noted, in order that they may be contacted throughout the course of proposal review. Letters of support and commitment from appropriate officials at the sponsoring institution and project partners are also welcomed. Do not attach any other appendices or information unless

they are directly relevant to your project. Appendices must be attached to all copies of the final proposal to be included in the review.

- \* Assurances and Certifications: When your institutional representative signs the Title Page, the applicant is certifying that it will comply with the assurances and certifications contained in these guidelines.

## CONGRESSIONAL PRIORITIES FOR POSTSECONDARY EDUCATION

### TITLE PAGE

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**This Application should be sent to:**

No. 84.116D

U.S. Department of Education

Application Control Center

Room 3633

Washington, D.C. 20202-4725

1. Application Number

2. D-U-N-S Number

3. Project Director (Name and Complete Mailing Address)

4. Institutional Information

Highest Degree Awarded:

\_\_\_\_\_ Two-year

\_\_\_\_\_ Four-year

\_\_\_\_\_ Graduate

\_\_\_\_\_ Doctorate

\_\_\_\_\_ Non-degree granting

\_\_\_\_\_ Other

Type:

\_\_\_\_\_ Public

\_\_\_\_\_ Private

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

e-mail: \_\_\_\_\_

5. Federal Funds Requested:

1st year only

2nd Year (if applicable)

3rd Year (if applicable)

Total Amount:

6. Duration of Project:

Starting Date

Ending Date

Total No. of Months

7. Proposal Title

8. Brief Abstract of Proposal: (*DO NOT LEAVE THIS BLANK*)

9. Legal Applicant (Name & Complete Mailing Address)

10. Population Directly Benefiting from the Project

Congressional District(s) of the Applicant Institution

11. Certification by Authorizing Official

The applicant certifies to the best of his/her knowledge and belief that the data in this application are true and correct, that the filing of the application has been duly authorized by the governing body of the applicant, and that the applicant will comply with the attached assurances and certifications if assistance is approved.

Print Name

Title

Phone

Signature

Date



## Instructions for Completing Title Page (Form ED 40-514)

**Agency Disclosure of Estimated Burden:** Public reporting burden for this collection of information is estimated to vary from 10 to 20 hours per response, with an average of 12 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1840-0514, Washington, D.C. 20503.

### Specific Instructions

**Item 1. Application Number:** An application number will be assigned to your proposal upon receipt by the Application Control Center. Leave this space blank.

**Item 2. D-U-N-S Number:** Beginning in FY 1998, the 9-digit D-U-N-S Number replaced the 12-digit IRS Employer Identification Number (EIN) used in previous years. The D-U-N-S Number is assigned to organizations by Dun & Bradstreet. If you do not know your D-U-N-S Number, call the toll-free telephone number maintained by Dun & Bradstreet: 800-333-0505 (Monday - Friday, 8:30 a.m. - 6:00 p.m. Eastern time).

**Item 3. Project Director:** Enter the name and complete mailing address of the designated Project Director. If no one has been selected, so indicate and enter the name of the person who can be contacted to discuss the programmatic aspects of the project. *NOTE: Name and address listed here will be used to mail proposal status notifications. Do not forget to include the telephone number. Both this address and the Legal Applicant address (Item 9) should be fully completed.*

**Item 4. Institutional Information:** Check the boxes which indicate both type of control and highest degree level granted by the legal applicant. The legal application cannot be an individual or a for-profit organization.

**Item 5. Federal Funds Requested:** Enter the amount of Federal funds being requested in the first year of the project. If applicable, enter the amount requested for a second and/or third year of funding. Under "total" enter the cumulative amount requested for the life of the project.

**Item 6. Duration of Project:** Enter the beginning date of the project (no earlier than September 1, 1999). Enter the ending date and the total number of months covered. Projects may be designed to be implemented over as many as 36 months.

**Item 7. Proposal Title:** Self-explanatory.

**Item 8. Brief Abstract of Proposal:** This should be concise and confined to the space provided, but in no case should you leave this space blank. See also the instructions requesting a separate one-page abstract.

**Item 9. Legal Applicant:** Enter the name and complete mailing address of the institution or agency which will serve as the legal applicant (fiscal agent). When more than one institution or agency is involved, enter the name of the one which will be responsible for budget control. *Official notifications of grant awards are sent to this address.* Remember to complete this section fully.

**Item 10. Population Directly Benefiting from the Project:** Please be specific and include both the approximate number to be benefited and their general characteristics (e.g., "200 non-traditional students").

**Item 11. Certification by Authorizing Official:** Enter the name, title, and telephone number of the official



who has the authority to commit the organization to accept Federal funding and to execute the proposed project. Submit the original ink-signed copy of the authorizing official's signature.

## Budget\*

Budget Items Requested from Federal Sources	Year 1	Year 2	Year 3
<b>A. Direct Costs:</b>			

- |   |    |  |
|---|----|--|
| 1. Salaries & Wages (Professional and Clerical) | \$ |  |
| 2. Employees' Benefits                          |    |  |
| 3. Travel                                       |    |  |
| 4. Equipment (Purchase)                         |    |  |
| 5. Materials & Supplies                         |    |  |
| 6. Consultants or Contracts                     |    |  |
| 7. Other (Equipment Rental, Printing, etc.)     |    |  |
| Total Direct Costs (add items #1-7):            |    |  |

**B. Indirect Costs:**

**C. Total Requested**

\$

(These Figures Should Appear on the Title Page)

**Institutional and Other Support** (Additional project costs not requested from federal sources)

**D. Direct Costs**

- |   |    |  |
|---|----|--|
| 1. Salaries & Wages (Professional and Clerical) | \$ |  |
| 2. Employees' Benefits                          |    |  |
| 3. Travel                                       |    |  |
| 4. Equipment (Purchase)                         |    |  |
| 5. Materials & Supplies                         |    |  |
| 6. Consultants or Contracts                     |    |  |
| 7. Other (Equipment Rental, Printing, etc.)     |    |  |
| Total Direct Costs (add items #1-7):            |    |  |

**E. Indirect Costs**

**F. Total Institutional and Other Support**

\*Budget items, including institutional support figures, must be detailed in the budget narrative of the final proposal.

## **Assurances**

The Applicant hereby assures and certifies that it will comply with the regulations, policies, guidelines and requirements, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of the Act, no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effect this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance.
5. It will comply with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq., which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance.
6. It will comply with the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 et seq., which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance.
7. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and Federally-assisted programs.
8. It will comply with provisions of the Hatch Act which limit the political activity of employees.
9. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
10. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
11. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
12. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
13. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
14. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, P.L. 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on or after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
15. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as

amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

## Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

**1. Lobbying:** As required by Section 1352, Title 31, of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000 as defined at 34 CFR Part 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

© The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### **2. Debarment, Suspension, and Other Responsibility Matters:**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110-

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public

(Federal, State, or local transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

© Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### **3. Drug-Free Workplace: (Grantees Other Than Individuals)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Section 85.605 and 85.610-

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

© Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3124, GSA Regional Office building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such

purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check **G** if there are workplaces on file that are not identified here.

#### **Drug-Free Workplace (Grantees Who Are Individuals)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in connection with any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S.

Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## Use This Checklist to Assist You in Preparing Your Application Package

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- ☐ Statement of Intent to Submit a Proposal was sent by April 16, 1999.
- ☐ Title page has been completed according to the instructions on the back of the sample title page.
- ☐ Title page has been signed and dated by an authorized official and the signed original has been included in package to mail.
- ☐ Each proposal copy has been stapled or otherwise fastened (not in binders or folders) with a title page on top of *each* copy.
- ☐ Application package includes original plus two (2) copies. Each of the three copies includes:
  - ☐ title page
  - ☐ project abstract (one page maximum)
  - ☐ proposal narrative (up to 15 double-spaced pages maximum)
  - ☐ budget form and narrative
  - ☐ appendix including project director's brief resume
- ☐ In addition to the above, include 3 extra copies of the title page.

**Remember: Proposals must be postmarked or hand delivered (by 4:30 p.m.) no later than April 30, 1999.**

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### Mailing Address for Proposals

Congressional Priorities for Postsecondary Education  
Attn: 84.116D; U.S. Department of Education  
Application Control Center -- Room 3633  
7th and D Streets, SW  
Washington D.C. 20202-4725